Records Management at MSU

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What is the University Archives?

- Official repository for the historical records of Michigan State University
  - Established by mandate of Board of Trustees in 1969
- Manage university’s inactive business records
- Collect non-MSU records that support the teaching and research mission
Traditional Services

- Reading room open to public for research
- Organize collections for public use
- Faculty and student research
- Teach classes to MSU and community
Conrad Hall is located east of the Wharton Center at the corner of Wilson Road and Fee Road between Fee Hall and Akers Hall.
Organization Chart

IT Services

Content & Collaboration

University Archives
Departmental Support
Web Team
Collaborative Services & Support

5/8/2013
WHY IS UNIVERSITY ARCHIVES PART OF IT SERVICES?
Technology Impacts Everything

- University records now created electronically
- Each employee manages own records
- Desktop publishing
- No more “file clerks”
Capturing Permanent University Records

- Spartan Archive
  - Creating a trusted digital repository to preserve historically significant born digital records
  - Capturing electronically MSU publications, directories, schedules that are no longer available in print
- Archive-It
  - Crawling the Web to preserve MSU’s websites
MANAGING NON-PERMANENT RECORDS
Records Management at MSU

- Why do we care?
- What is a university record?
- What is records management?
- What are records retention schedules?
- How are records disposed?
- What is good practice guidance?
- How do we start in our own offices?
Why do we care?

- Ensure compliance with institutional policies
- Ensure compliance with federal and state laws and regulations
  - FERPA, FOIA, HIPAA
- Protect personal information
- Identify and preserve vital records
- Improve business efficiency
- Respond to e-discovery and FOIA requests

5/8/2013
What is a university record?

A record is “information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.”

ISO 15489 – The International Records Management Standards
How to distinguish records?

- Does this document a major function of my unit or office?
- Is this evidence of a business transaction?
- Will this be needed to make decisions in the future?
- Will others need access to this information later?
- Does this help ‘tell the story’ of my unit or office?
Not all records are created equal...
Records Management

Records Management (RM) is the intentional management of all records, regardless of whether they are paper or electronic, created in the course of business activities as an institutional asset for legal, fiscal, administrative or historical purposes through the records' entire life cycle.
Retention Schedules

- **Retention Period**: The length of time a given record series is retained for administrative, legal, and historical reasons.

- **Retention Schedule**: A set of policies and procedures that identify and describe an organization's records. Retention schedules provide instructions for the disposition of records throughout their life cycle.
Fiscal Records

Schedule Number: 102.98
Schedule Approved Date: General
Title: Fiscal Records—Departmental Originals
Disposition: FY + 6 years
Disposition Description: Cut off at end of the fiscal year. Maintain in office one year or until audit is complete, then files can be sent to archive for the remaining five years.
Functional Category: Fiscal
Description: These records are unique, original financial records retained in the creating department. They are not copies, nor are they copies of materials maintained by any other office on campus.
Offices: Any

5/8/2013
Fiscal Records

Schedule Number: 104.98
Schedule Approved Date: General
Title: Fiscal Records—Departmental Copies
Disposition: FY + 2 years
Disposition Description: Retain in office of creation for the duration of the retention period, then destroy.
Functional Category: Fiscal
Description: These records are copies of documents retained for departmental use only, when the original was submitted to Controller’s Office directly or via Kuali Financial System.
Offices: Any
Fiscal Records

Schedule Number: 105.98
Schedule Approved Date: General
Title: Fiscal Records—Controller’s Office Record
Disposition: FY + 6 years
Disposition Description: Maintain in office one year past the end fiscal year or until audit is complete, then send files to the archives for the remaining 5 years.
Functional Category: Fiscal
Description: These records are the unique, original financial records retained by the Controller’s Office, including Kuali Financial Systems, and constitute the official University record.
Offices: Controller’s Office
Semester Effort Reports

Schedule Number: 143.08
Schedule Approved Date: Special
Title: Semester Effort Reports
Disposition: 15 years (Effective 04-2008)
Disposition Description: These records will be transferred to the Archives when they are no longer active.
Functional Category: Administrative
Description: Semester Effort Reports (SER) are documents generated in association with federal and state contracts and grants. These reports are used for audit purposes.
Offices: MSU Contracts & Grants Office ONLY

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MSU Publications

Schedule Number: 116.98
Schedule Approved Date: General
Title: MSU Publications
Disposition: Permanent
Disposition Description: Retain one copy in office of creation permanently. This office should send copies to archives either as published or on an annual basis. The University Archives is capturing most web sites within the msu.edu domain and identified MSU related external sites. Offices should inform the University Archives before retiring old websites and when creating new web sites.
Functional Category: Administrative
Description: These are publications created at MSU including pamphlets, brochures, newsletters, magazines, guide-books, bulletins, programs, announcements, videos, web sites, electronic publications (one-time and serial publications), for on-campus and off-campus audiences.
Offices: Any

5/8/2013
Versatile Retention Tool

- Build a structure for MSU records schedules
- Provide a description of records
- Legal research
  - Federal Laws and Regulations
  - Michigan Laws and Regulations
- Apply retention schedules
<table>
<thead>
<tr>
<th>Jurisdiction</th>
<th>Identifier</th>
<th>Suffix/Regulated Party</th>
<th>Retention</th>
<th>Record Description</th>
<th>Flag</th>
<th>Entered By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
<td>15 CFR 14.34</td>
<td>(f) Organizations receiving awards from the Department of Commerce</td>
<td>NONE STATED</td>
<td>equipment records</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>46 CFR 11.303</td>
<td>(d) Training schools for merchant marine officers and seamen</td>
<td>EV+01</td>
<td>records of written examinations, reports of practical tests and records of classroom attendance</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>8 CFR 274a.2</td>
<td>(d)(2) Recruiters or referees</td>
<td>EV+03</td>
<td>Form 19 (Employment Eligibility Verification Forms)</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>29 CFR 1910.266</td>
<td>(d)(10) Employees engaged in logging operations</td>
<td>SUP</td>
<td>training certification records</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>7 CFR 210.8</td>
<td>(a)(5) School food authorities</td>
<td>OR+03</td>
<td>monthly claims for reimbursement and all data used in the claims review process</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>29 CFR 1602.14</td>
<td>Employers subject to Title VII of the Civil Rights Act</td>
<td>VARIOUS</td>
<td>records related to hiring, promotion, demotion, transfer, lay-off or termination, compensation and selection for training or apprenticeship</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>29 CFR 1602.49</td>
<td>Institutions of higher education</td>
<td>VARIOUS</td>
<td>personnel or employment records</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>45 CFR 2543.53</td>
<td>(b) Institutions of higher education, hospitals, and other non-profit organizations</td>
<td>EV+03</td>
<td>records of real property and equipment acquired with Federal funds that are renewed quarterly or annually</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>42 CFR 86.3</td>
<td>Recipients of grants for education programs in Occupational Safety and Health</td>
<td>NONE STATED</td>
<td>laboratory notes, related technical data, and information pertaining to inventions and discoveries</td>
<td>Zaso</td>
<td></td>
</tr>
<tr>
<td>Federal</td>
<td>34 CFR 666.24</td>
<td>(e)(1) Institutions of higher education participating in</td>
<td>CY+03</td>
<td>records of administration, eligibility and participation, etc. related to</td>
<td>Zaso</td>
<td></td>
</tr>
</tbody>
</table>

Citation Heading:

TITLE 29 — LABOR
SUBTITLE B — REGULATIONS RELATING TO LABOR
CHAPTER XIV — EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
PART 1602 — RECORDKEEPING AND REPORTING REQUIREMENTS UNDER TITLE VII, THE ADA, AND GINA
SUBPART O — RECORDKEEPING FOR INSTITUTIONS OF HIGHER EDUCATION

1602.49 Preservation of records made or kept.

(a) Any personal or employment record (including but not necessarily limited to requests for reasonable accommodation, application forms submitted by applicants and other records having to do with hiring, promotion, tenure, demotion, transfer, layoff, or termination, rates of pay or other terms of compensation, and selection for training) made or kept by an institution of higher education shall be preserved by such institution of higher education for a period of two years from the date of the making of the personnel action or record involved, whichever occurs later. In the case of the involuntary termination of an employee, the personnel records of the individual terminated shall be kept for a period of two years from the date of termination. Where a charge of discrimination has been filed, or a civil action brought against an institution of higher education by the Commission or the Attorney General, the respondent shall preserve similarly at the central administrative office of the institution of higher education, at the central office of a separate campus or branch, or at the individual school which is the subject of the charge or action, where more convenient, all personnel records relevant to the charge or action until final disposition thereof. The term “personnel records relevant to the charge,” for example, would include personnel or employment records relating to the person claiming to be aggrieved and to all employees holding positions similar to that held or sought by the person claiming to be aggrieved; it would also include application forms or test papers completed by an unsuccessful applicant and by all other candidates for the same position as that for which the person claiming to be aggrieved applied and was rejected. The date of “final disposition of the charge or the action” means the date of expiration of the statutory period within which a person claiming to be aggrieved may bring an action in the United States District Court, or, where an action is brought against an institution of higher education by a person claiming to be aggrieved, the Commission, or the Attorney General, the date on which such litigation is terminated.

(b) The requirements of paragraph (a) of this section shall not apply to application forms and other preemployment records of non-student applicants for positions known to non-student applicants to be of a temporary or seasonal nature. (Approved by the Office of Management and Budget under control number 3046-00-40)
Retention Schedules

What is a retention schedule?
A retention schedule is a document defining the retention period and disposition of the records created by an organization or academic unit. Retention schedules are designed to meet the requirements of:

- Federal statutes, laws, regulations, and legal decisions
- State laws
- MSU regulations and policies

The retention schedule will determine which records should be sent to University Archives & Historical Collections.

Requesting help
Units with questions about their retention schedules should contact University Archives & Historical Collections staff at archives@msu.edu or (517) 355-2330 for assistance.
Proposals

- Revise Records Retention Schedules
- Records Advisory Group
- Composition
  - Stakeholders
  - Records Management
  - Offices of Record
- Other Big Ten Schools
  - University of Wisconsin
  - Penn State
  - University of Michigan
Group Retention Schedule Exercise

12 Common Records Types

Decide if Temporary or Permanent

Review as a Class
Active vs. Inactive Records

- **Active records** are those documents currently being used by your department on an daily or monthly basis. These items should be retained at department.

- **Inactive records** are used no more than a few times a year. These records can be sent to the archives for offsite storage (at no cost to your office), after they have been retained at the department for a least one year after the records were created.
Disposal of Inactive Records

- If inactive records were transferred to offsite storage, UAHC staff will contact an office when a records series has met its retention period.
- Unit administrator and UAHC director will approve destruction of the records.
- UAHC will coordinate secure shredding.
- If the records series has a permanent retention period, the University Archives will accession, preserve and make the records accessible.
What if there is no retention schedule?

- UAHC staff will assist your office...
  - Assess the records for institutional, administrative, legal and historical value;
  - Inventory the records and business process workflow;
  - Identify applicable state, federal and institutional regulations;
  - Identify the official records creator and steward, and
  - No direct charges to units or offices for service!
Good Practice Guidance

- Business Classification Scheme
  - File Plans
- Enterprise Business System
- Shared Network Drives
- Handling Sensitive Data
- Electronic Records
  - Including Email
What is a Business Classification Scheme?

- **Business Classification Scheme** is a conceptual representation of an organization’s business.
  - It describes an organization’s business functions and activities, and the relationships between them.
- **Functions** are the largest units of business activity.
  - They are the major responsibilities that are managed by an organization to fulfill its mission or mandate, and its responsibilities to its stakeholders.
- **Activities** are the tasks performed to accomplish each function.
What is a File Plan?

- **File Plan** is an outline of the records held in each business office
  - It describes what records are used and maintained in offices,
  - It denotes whether records are electronic or paper,
  - It states how long records are kept.
Example of Invoices in a Classification Scheme

Fiscal

Scanned Receipts

Procurement cards
2011
2012
Staff Name
01-January
02-February
Vendor_date.pdf

Travel Receipts
2011
Staff Name_date.pdf

Fiscal

Invoices for scan orders
2012
Customer Name_date.pdf
Supporting detail, including receipts, invoices or contracts explaining the reason for the payment, must be scanned and attached to the DV with a note in the Notes and Attachments tab. Departments must retain original invoices and receipts on file until the DV has posted to the general ledger.

- Manual of Business Procedures: Section 75 – Disbursement Voucher
Enterprise Business Systems – KFS and SAP

- Paper copy is kept until the transaction is fully approved.
- Scanned image is now the official business record.
- Paper copy does not need to be sent to central administrative unit.
  - Exception = I-9 Forms.
- Responsibility for scheduling and disposition of university business records in enterprise business systems is shared by University Archives and the central administrative units.
Enterprise Business Systems – KFS and SAP

- Internal Audit will use scanned supporting documentation for their review.
- Units should dispose of paper originals using the following methods:
  - MSU Recycling
- **Note:** Disposal relates only to documentation that directly supports the specific transaction being processed. University retention schedules remain in effect for offices’ other business records.
Handling Sensitive Data in Documents

- Redact or obscure sensitive data from imaged documents.
- In the rare instances where sensitive information needs to be included:
  - Access is limited to users with the appropriate security role (e.g., HR Unit Administrators, HR/Payroll Approvers).
  - Use the “Secured Field” portion of the e-doc in the finance system.
- Units should dispose of paper originals using the following methods:
  - Shred papers containing sensitive data before recycling or place in specific secured sensitive data bins.
Records Management in EBS

- Cooperative project between EBS Teams, University Archives and Offices of Record.
- Goals are to:
  - Identify records
  - Assign retention schedules
  - Purge inactive records that met retention schedule
  - Maintain long-term within system or near-system
  - Archive records permanent records
Shared Network Drives

- Central shared network drive useful for every office or unit
  - Promotes collaboration
  - Discourages silos and duplication
  - Allows for adequate backup and recovery
  - Facilitates application of retention schedules
  - Promote business continuity
Naming Conventions

- Standard naming of digital files
- Easier search and retrieval
- Promotes sharing and access
- Include:
  - Year
  - Version/Draft/Final
  - Concise Title
Types of Electronic Business Records

- E-mail
- Electronic newsletters and publications
- MSU websites
- Scanned documents
- Memos
- Reports
- Photos
E-mail Retention

- E-mail is considered a university record when it:
  - Provides evidence of business-related activities
  - Documents university decisions
  - Commits staff to a specific action

- E-mail is not a university record if it is:
  - Personal
  - Circulated for reference-purposes only
  - Mass-circulated mail from external sources

- Non-record email should be deleted immediately.
MSU Guidance for Email Records

- Tool to walk users through various types of email they receive.
- Assists us determine if we can discard certain emails or if need to retain messages and attachments.
- Please refer to your handout.
- Guidance document on UAHC website.

Group Email Exercise

12 Common Emails received in MSU Offices

Determine if they are emails that should be kept or discarded
Transferring Permanent Electronic Records

- Contact University Archives staff to arrange transfer of records – paper or digital
- Complete transmittal form
- Transfer via hard media (disks, flash drives)
- Or University Archives will set up a FTP portal for electronic transfer
First Steps for Records Management...

- Inventory your office’s records
  - Remember UAHC staff will make “office” calls!
- Identify university records created in your office
- Review university’s records retention schedules
- Transfer inactive paper records to UAHC
- Create shared drive directory
- Clean out email inboxes
- Agree on office-wide naming conventions for digital files with version control options